



# RECORDS RETENTION AND DISPOSITION SCHEDULE

## Insurance, Department of. Surplus Lines Section.

Agency: Surplus Lines Section		Division:	
ITEM NO.	RECORD SERIES	TITLE/DESCRIPTION (This Retention Schedule is approved on a space-available basis)	RETENTION PERIOD
1	83-1209	<b>AGENT APPLICATIONS</b> Each resident Surplus Lines agent must obtain a Surplus Lines license by passing a test given at the agency-approved testing site. This file contains the score sheet, a copy of the application and any correspondence. Disclosure of these records may be subject to IC 5-14-3-4(a)(7), and (b)(3) and (4).	TRANSFER to the Indiana Archives, for EVALUATION, SAMPLING, or WEEDING pursuant to archival principles five (5) years after the license is not renewed.
2	83-1212	<b>SURPLUS LINES PREMIUM TAX WORKBOOK (EXCEL)</b> Workbook contains spreadsheets reflecting the semi-annual tax due on February 1st and August 1st for the preceding six (6) month period ending 6/30 & 12/31 along with date received and check number, spreadsheet reflecting consolidated total by month for each agent and spreadsheet for each surplus lines insurance carrier reflecting monthly totals for each agent. Numerical arrangement by agent license number.	DESTROY three (3) years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
3	83-1213	<b>AGENT MONTHLY REPORTS</b> Each Surplus Lines Agent must submit a monthly report to indicate the business conducted during the month. The report must be submitted even if no business was written. Arranged numerically by agent license number.	DESTROY three (3) years after the year of the report.
4	83-1215	<b>SEMI-ANNUAL INSURANCE PREMIUM TAX REPORTS</b> Surplus Lines agents must submit these reports to transmit premium taxes due; numerical arrangement by agent license number.	DESTROY three (3) years after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
5	98-29	<b>ANNUAL STATEMENTS</b> These are annual statements of insurance carriers submitted by the agent rather than the company. Arranged numerically by NAIC number.	DESTROY one (1) year after receipt of a new financial statement.